



# County of San Diego

CLERK OF THE BOARD OF SUPERVISORS  
1600 PACIFIC HIGHWAY, ROOM 402, SAN DIEGO, CALIFORNIA 92101-2471

## SAN DIEGO COUNTY SHERIFF APPLICATION PACKET

**The application packet consists of the following materials:**

- Form of Notice
- Minute Order and Board Letter - "Filling the Vacancy of the San Diego County Elective Office of County Sheriff" dated May 12, 2009
- Board of Supervisors Policy A-105: Process to Fill Vacancies of Elected Offices other than Board of Supervisors
- Excerpt from County Charter regarding the Office of the County Sheriff
- Class Specifications of the County Sheriff
- Government Code §24004.3 regarding minimum qualifications to become Sheriff
- Rules for County Sheriff Regarding Incompatible Activities
- Application for Appointment of the Elective Office of the County Sheriff
- Statement of Economic Interest Form (Form 700)

**Applications are due in person to the  
Clerk of the Board of Supervisors by 5 p.m., June 10, 2009.**



The San Diego County Board of Supervisors  
is seeking applicants who wish to serve the  
unexpired term of the elected  
**SAN DIEGO COUNTY SHERIFF**

The San Diego County Sheriff heads a department that is comprised of approximately 4,000 employees, both sworn officers and professional support staff. The department provides general law enforcement, detention and court services for the people of San Diego County in a service area of approximately 4,200 square miles. In addition, the department provides specialized regional services to the entire county, including the incorporated cities and the unincorporated areas of the county.

The Sheriff manages eight major detention facilities as well as eight major patrol stations, four patrol substations, a crime laboratory, and an array of support operations necessary to provide full law enforcement coverage for the County of San Diego.

The person appointed by the Board will be expected to complete the current term that expires January 3, 2011.

Applicants for this position must:

- be a registered voter of the County of San Diego;
- be a citizen of the United States;
- be, or have been, a POST-certified peace officer, with at least an advanced training certificate or have combined law enforcement experience and education that comply with Government Code §24004.3, such as a master's degree and one year of full-time salaried law enforcement experience within the last five years preceding the date of filing for the office of Sheriff, or a high school diploma (or equivalent) with at least four years of law enforcement experience;
- not have been convicted of any crime disqualifying the applicant from holding elected office;
- complete the application process; and
- be able to formally assume the position not later than twenty (20) business days following the selection by the Board of Supervisors.

Finalists will be subject to a full background investigation and the selected candidate will be required to pass the County's standard medical exam.

**All candidates must obtain the application form in person at:**

San Diego County Clerk of the Board of Supervisors  
County Administration Center  
1600 Pacific Highway, Room 402  
San Diego, California, 92101

**Completed applications must be submitted in person to the  
Clerk of the Board of Supervisors by Wednesday, June 10, 2009 at 5 p.m.**

**COUNTY OF SAN DIEGO  
BOARD OF SUPERVISORS  
TUESDAY, MAY 12, 2009**

**MINUTE ORDER NO. 15**

**SUBJECT: SET HEARING FOR 6/16/09:  
FILLING THE VACANCY OF THE SAN DIEGO COUNTY ELECTIVE  
OFFICE OF SHERIFF (DISTRICTS: ALL)**

**OVERVIEW:**

The County Sheriff will resign from his office effective July 2, 2009. On April 21, 2009, the Board determined that the process to fill the vacancy would be conducted in accordance with Board Policy A-105, and directed the Clerk of the Board to return in 30 days with a public hearing schedule, an application deadline, and the form of notice to advertise the position.

This action requires three steps: On May 12, 2009, the Board will approve the form of notice and application, and the deadline for acceptance of applications. On June 16, 2009, the Board will conduct the first public hearing during which the Board will select no more than five finalists from among those who have applied. On June 23, 2009, a second public hearing will take place during which the Board will make a final selection from among the finalists.

**FISCAL IMPACT:**

There is no fiscal impact as a result of the recommended actions. The position is budgeted in the Department of the Sheriff.

**BUSINESS IMPACT STATEMENT:**

N/A

**RECOMMENDATION:**

**CHIEF ADMINISTRATIVE OFFICER**

**On May 12, 2009:**

1. Approve the application packet for the position which includes the form of notice to advertise the position (Attachment A).
2. Set the application period to commence at 8 a.m. Wednesday, May 13, 2009, and to close at 5 p.m. Wednesday, June 10, 2009. Applications are available from and must be returned to the Clerk of the Board, by the close of the filing period. All applicants must personally appear to obtain and file the required application forms. Applications with required attachments must be completed fully for acceptance by the Clerk.

3. Require the following with respect to this application process:
  - a. Each finalist must provide written responses to any questions the Board may ask the finalists to prepare for the final hearing.
  - b. Each finalist must grant the County permission to conduct credit and criminal records background checks.
  - c. Inform the finalists that the appointment of the successful applicant will be contingent on that applicant passing the County's standard medical exam.
4. Set Tuesday, June 16, 2009 at 2 p.m. as the first hearing on all applicants.
5. Set Tuesday, June 23, 2009 at 10 a.m. as the second hearing to consider finalists.

**On June 16, 2009:**

1. Conduct a public hearing and hear from each of the applicants.
2. Select no more than five (5) finalists from among those who have applied.

**On June 23, 2009:**

1. Conduct a public hearing and hear from each of the finalists.
2. Select and appoint one of the finalists to serve as, and complete the current term of the County office of the Sheriff, contingent upon passing the County's standard medical exam.

**ACTION:**

ON MOTION of Supervisor Horn, seconded by Supervisor Slater-Price, the Board of Supervisors took action as recommended; setting Hearing for June 16, 2009, 2:00 p.m.

AYES: Cox, Jacob, Slater-Price, Roberts, Horn

- - -

State of California)  
County of San Diego) §

I hereby certify that the foregoing is a full, true and correct copy of the Original entered in the Minutes of the Board of Supervisors.

THOMAS J. PASTUSZKA  
Clerk of the Board of Supervisors





# COUNTY OF SAN DIEGO

## AGENDA ITEM

### BOARD OF SUPERVISORS

GREG COX  
First District

DIANNE JACOB  
Second District

PAM SLATER-PRICE  
Third District

RON ROBERTS  
Fourth District

BILL HORN  
Fifth District

# 15

**DATE:** May 12, 2009, June 16, 2009, and June 23, 2009

**TO:** Board of Supervisors

**SUBJECT:** FILLING THE VACANCY OF THE SAN DIEGO COUNTY ELECTIVE OFFICE OF SHERIFF (District: All)

### SUMMARY:

#### Overview

The County Sheriff will resign from his office effective July 2, 2009. On April 21, 2009, the Board determined that the process to fill the vacancy would be conducted in accordance with Board Policy A-105, and directed the Clerk of the Board to return in 30 days with a public hearing schedule, an application deadline, and the form of notice to advertise the position.

This action requires three steps: On May 12, 2009, the Board will approve the form of notice and application, and the deadline for acceptance of applications. On June 16, 2009, the Board will conduct the first public hearing during which the Board will select no more than five finalists from among those who have applied. On June 23, 2009, a second public hearing will take place during which the Board will make a final selection from among the finalists.

#### Recommendation(s)

#### CHIEF ADMINISTRATIVE OFFICER

On May 12, 2009:

1. Approve the application packet for the position which includes the form of notice to advertise the position (Attachment A).
2. Set the application period to commence at 8 a.m. Wednesday, May 13, 2009, and to close at 5 p.m. Wednesday, June 10, 2009. Applications are available from and must be returned to the Clerk of the Board, by the close of the filing period. All applicants must personally appear to obtain and file the required application forms. Applications with required attachments must be completed fully for acceptance by the Clerk.

**(ATTACHMENTS DISTRIBUTED TO EACH BOARD MEMBER, CAO, COUNTY COUNSEL AND ON FILE IN THE OFFICE OF THE CLERK OF THE BOARD)**

**SUBJECT: FILLING THE VACANCY OF THE SAN DIEGO COUNTY ELECTIVE  
OFFICE OF SHERIFF**

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3. Require the following with respect to this application process:
  - a. Each finalist must provide written responses to any questions the Board may ask the finalists to prepare for the final hearing.
  - b. Each finalist must grant the County permission to conduct credit and criminal records background checks.
  - c. Inform the finalists that the appointment of the successful applicant will be contingent on that applicant passing the County's standard medical exam.
4. Set Tuesday, June 16, 2009 at 2 p.m. as the first hearing on all applicants.
5. Set Tuesday, June 23, 2009 at 10 a.m. as the second hearing to consider finalists.

On June 16, 2009:

1. Conduct a public hearing and hear from each of the applicants.
2. Select no more than five (5) finalists from among those who have applied.

On June 23, 2009:

1. Conduct a public hearing and hear from each of the finalists.
2. Select and appoint one of the finalists to serve as, and complete the current term of the County office of the Sheriff, contingent upon passing the County's standard medical exam.

**Fiscal Impact**

There is no fiscal impact as a result of the recommended actions. The position is budgeted in the Department of the Sheriff.

**Business Impact Statement**

N/A

**Advisory Board Statement**

N/A

**BACKGROUND:**

San Diego County Charter, Section 500.2, provides that the Board has the power to fill, by appointment, any vacancy that occurs in an elective office. The appointee holds office until the election and qualification of successor. The successor is elected at the next statewide primary election, or at the next statewide primary and general elections, to complete the term, if it does not expire the following January, or to begin a new term of office. The next statewide primary election is set for June 2010. The June 2010 ballot will include the office of County Sheriff for a

**SUBJECT: FILLING THE VACANCY OF THE SAN DIEGO COUNTY ELECTIVE  
OFFICE OF SHERIFF**

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new four-year term. That new four-year term will commence on January 3, 2011. Therefore, should the Board of Supervisors appoint a person to fill this vacancy, such appointee would serve through January 3, 2011, which would complete the current term of office prior to the elected successor assuming office on January 3, 2011.

On April 21, 2009 the Board determined that the procedures outlined in Board Policy A-105 shall be followed to fill the vacancy of the County Sheriff.

In accordance with Policy A-105, on May 12, 2009, the Board of Supervisors is asked to approve the deadline for acceptance of applications and determine dates for two public hearings. The Board is also asked to approve the form of notice the Clerk is to advertise for the position.

Applications will be obtained and filed at the Office of the Clerk of the Board of Supervisors. All applicants must personally appear to obtain and file the required application forms. All applicants shall be required to provide to the Board by the filing deadline:

- (a) A statement of qualifications,
- (b) Affidavit of applicants for appointment certifying, under the penalty of perjury, that the applicant is a California citizen, over the age of 18, is not disqualified from holding office because of conviction of crimes, and fulfills the residency and elector requirements established by the County Charter, and any other qualification required by law.

The application form will include the following:

- (a) Full name, residence address for the past five years.
- (b) Current resume containing, as a minimum, all employment for the previous five years.
- (c) Date and place of birth.
- (d) A written statement outlining the qualifications of the applicant for that office (500 words maximum).
- (e) A written statement explaining the applicant's reasons for wishing to be appointed to the office.
- (f) A Statement of Economic Interests form of the type required to be filed by the incumbent of the public office for which appointment is to be made.

The Clerk of the Board shall provide to each applicant copies of any pertinent State law, County Ordinance or policy relating to the vacancy.

Applicants may be requested to provide the Board with additional information, including answers to questions submitted by members of the Board of Supervisors.

The Clerk of the Board will make copies of all completed application forms at the close of each business day during the filing period. These will be consolidated into a packet, three (3) copies of which shall be distributed to the office of each Supervisor the morning of the next business

**SUBJECT: FILLING THE VACANCY OF THE SAN DIEGO COUNTY ELECTIVE  
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day for their review. These packets will also be made available to the media after delivery to the Board offices.

At the first hearing before the Board on June 16, 2009 at 2 p.m., each applicant shall be given three minutes to make an oral presentation. After all applicants have made their presentation to the Board, the Chair shall allow each Supervisor to ask questions of any applicant.

After the presentation and question period has been concluded, the Board shall, on written ballots provided by the Clerk of the Board, select no more than five (5) finalists from among those who have applied.

Each Supervisor may vote for up to five (5) applicants. The Clerk shall announce the results, publicly recording each Supervisor's vote. The five applicants receiving the largest number of votes will be chosen as finalists. Any ties will be broken by subsequent vote among only the applicants tied for a remaining finalist(s) position(s). The Clerk shall announce the votes of each Board member after each round of balloting.

The Board of Supervisors also may require the following with respect to the application process:

- (a) Provide written responses to any questions the Board may ask the finalists,
- (b) Grant the County permission to conduct a credit check and criminal background investigation, and
- (c) Inform the finalists that the appointment of the successful applicant will be contingent on that applicant passing the County's standard medical exam.

The second hearing will be held on June 23, 2009 at 10 a.m. Each finalist shall make an oral presentation.

After applicant presentations, the Chair shall allow each Board member to ask questions of the applicants. At the conclusion of the question period, each Board member shall, on written ballots provided by the Clerk of the Board, vote for one of the finalists to fill the unexpired term. Balloting shall continue at this or subsequent meetings until an appointment is made. The Clerk shall announce the vote of each Board member after each round of balloting.

Whenever any applicant receives three (3) or more votes, the Chair shall declare that at least three (3) members of the Board have concurred in the selection of such applicant and that such applicant shall be declared by the Chair to be appointed to fill the vacant office contingent upon passing the County's standard medical exam. The person so appointed shall be prepared to formally assume the office not later than twenty (20) business days following the selection by the Board of Supervisors.

**Linkage to the County of San Diego Strategic Plan**  
Promote safe and livable communities.



**SUBJECT:** FILLING THE VACANCY OF THE SAN DIEGO COUNTY ELECTIVE  
OFFICE OF SHERIFF

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Respectfully submitted,

WALTER F. EKARD  
Chief Administrative Officer

**ATTACHMENT(S)**

Attachment A - Application Packet with Application and Form of Notice

Attachment B – Communication Plan to Fill the Vacancy of the County Sheriff

**SUBJECT:** FILLING THE VACANCY OF THE SAN DIEGO COUNTY ELECTIVE  
OFFICE OF SHERIFF

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**AGENDA ITEM INFORMATION SHEET**

**CONCURRENCE(S)**

**COUNTY COUNSEL REVIEW**

Written Disclosure per County Charter  
Section 1000.1 Required

*Tom*  
☒ Yes

☐ Yes

☒ No

**GROUP/AGENCY FINANCE DIRECTOR**

☐ Yes

☒ N/A

**CHIEF FINANCIAL OFFICER**

Requires Four Votes

☐ Yes

☒ N/A

☐ Yes

☒ No

**GROUP/AGENCY INFORMATION  
TECHNOLOGY DIRECTOR**

☐ Yes

☒ N/A

**COUNTY TECHNOLOGY OFFICE**

☐ Yes

☒ N/A

**DEPARTMENT OF HUMAN RESOURCES**

☐ Yes

☒ N/A

**Other Concurrence(s):** N/A

**ORIGINATING DEPARTMENT:** Clerk of the Board of Supervisors

**CONTACT PERSON(S):**

David Hall, Assistant Clerk of the Board

Name

(619) 531 5432

Phone

(619) 595-4616

Fax

A-45

Mail Station

David.hall@sdcounty.ca.gov

E-mail

Name

Phone

Fax

Mail Station

E-mail

**AUTHORIZED REPRESENTATIVE:**

*Thomas J. Pastuszka*

Thomas J. Pastuszka

Executive Officer/Clerk of the Board

**SUBJECT:** FILLING THE VACANCY OF THE SAN DIEGO COUNTY ELECTIVE  
OFFICE OF SHERIFF

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**AGENDA ITEM INFORMATION SHEET**  
(continued)

**PREVIOUS RELEVANT BOARD ACTIONS:**

April 21, 2009 – Filling the Vacancy of the Sheriff

**BOARD POLICIES APPLICABLE:**

A-105 – Process to Fill Vacancies of Elected Offices other than the Board of Supervisors

**BOARD POLICY STATEMENTS:**

N/A

**CONTRACT AND/OR REQUISITION NUMBER(S):**

N/A

**SUBJECT:** FILLING THE VACANCY OF THE SAN DIEGO COUNTY ELECTIVE  
OFFICE OF SHERIFF

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**FISCAL IMPACT STATEMENT**

**DEPARTMENT:** Clerk of the Board of Supervisors

**PROGRAM:** N/A

**PROPOSAL:** N/A

**FUTURE YEARS ESTIMATED  
BUDGET OF PROPOSAL  
IF ADOPTED**

(a)	(b)	(c)	(d)	(e)
Budgeted Amount For Proposal	Proposed Change in Budgeted Amount	Proposed Revised Current Year Budget (a+b)	1st Subsequent Year	2nd Subsequent Year

Direct Cost

Revenue/Other Offset

**NET GENERAL  
FUND COST**

Staff Years

---

Sources of Revenue/Other Offset for Proposed Change and Subsequent Years:  
N/A

**Space-Related Impacts:** Will this proposal result in any additional space requirements? ☐ Yes ☒ N/A

**Support/Other Departmental Impacts:** ☐ Yes ☒ N/A

**Remarks:** ☐ Yes ☒ N/A  
N/A

**COUNTY OF SAN DIEGO, CALIFORNIA**  
**BOARD OF SUPERVISORS POLICY**

**Subject**

Process to Fill Vacancies of Elected Offices other than Board of Supervisors

**Policy  
Number**

A-105

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**Purpose**

To establish a procedure for appointment of Elected County Officers other than Supervisors for which the Board of Supervisors has the power to fill the vacancy and which provides an open process allowing for citizen participation.

**Background**

Charter of the County of San Diego, Section 500.2, provides that the Board has the power to fill, by appointment, any vacancy that occurs in an elective office. The appointee holds office until the election and qualification of successor. The successor is elected at the next primary election, or at the next primary and general elections, to complete the term, if it does not expire the following January, or to begin a new term of office.

**Policy**

It is the policy of the Board of Supervisors that when a vacancy occurs in an elected office, other than a member of the Board of Supervisors, the following procedures shall be followed to fill that vacancy:

1. The Board of Supervisors shall approve the deadline for acceptance of applications and determine dates for two public hearings and adopt any additional procedures governing the appointment process. The Board shall also approve the form of notice the Clerk is to advertise for the position, including newspaper advertisements and news releases.

2. Applications will be obtained and filed at the Office of the Clerk of the Board of Supervisors. All applicants must personally appear to obtain and file the required application forms. All applicants shall be required to provide to the Board by the filing deadline:

(a) A statement of qualifications,

(b) Affidavit of applicants for appointment certifying, under the penalty of perjury, that the applicant is a California citizen, over the age of 18, is not disqualified from holding office because of conviction of crimes, and fulfills the residency and elector requirements established by the County Charter, and any other qualification required by law.

**COUNTY OF SAN DIEGO, CALIFORNIA**  
**BOARD OF SUPERVISORS POLICY**

**Subject**

Process to Fill Vacancies of Elected Offices other than Board of Supervisors

**Policy  
Number**

A-105

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The application form will include the following:

- (a) Full name, residence address for the past five years.
- (b) Current resume containing, as a minimum, all employment for the previous five years.
- (c) Date and place of birth.
- (d) A written statement outlining the qualifications of the applicant for that office (500 words maximum).
- (e) A written statement explaining the applicant's reasons for wishing to be appointed to the office.
- (f) A Statement of Economic Interests form of the type required to be filed by the incumbent of the public office for which appointment is to be made.

The Clerk of the Board shall provide to each applicant copies of any pertinent State law, County Ordinance or policy relating to the vacancy.

Applicants may be requested to provide the Board with additional information, including answers to questions submitted by members of the Board of Supervisors.

3. The Clerk of the Board will make copies of all completed application forms at the close of each business day during the filing period. These will be consolidated into a packet, three (3) copies of which shall be distributed to the office of each Supervisor the morning of the next business day for their review. These packets will also be made available to the media after delivery to the Board offices.

4. At the first hearing before the Board, each applicant shall be given three minutes to make an oral presentation. After all applicants have made their presentation to the Board, the Chair shall allow each Supervisor to ask questions of any applicant.

After the presentation and question period has been concluded, the Board shall, on written ballots provided by the Clerk of the Board, select no more than five (5) finalists from among those who have applied.

5. Each Supervisor may vote for up to five (5) applicants. The Clerk shall announce the results, publicly recording each Supervisor's vote. The five applicants receiving the

**COUNTY OF SAN DIEGO, CALIFORNIA**  
**BOARD OF SUPERVISORS POLICY**

**Subject**

Process to Fill Vacancies of Elected Offices other than Board of Supervisors

**Policy  
Number**

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largest number of votes will be chosen as finalists. Any ties will be broken by subsequent vote among only the applicants tied for a remaining finalist(s) position(s). The Clerk shall announce the votes of each Board member after each round of balloting.

Supervisors may also require each finalist to provide the Board with a medical certification, permission to conduct credit and police checks and written responses to any questions of any applicant.

6. The second hearing shall be held not less than three days following the first hearing. Each finalist shall make an oral presentation.

After applicant presentations, the Chair shall allow each Board member to ask questions of the applicants. At the conclusion of the question period, the Board shall, on written ballots provided by the Clerk of the Board, vote for one of the finalists to fill the unexpired term. Balloting shall continue at this or subsequent meetings until an appointment is made. The Clerk shall announce the vote of each Board member after each round of balloting.

Whenever any applicant receives three (3) or more votes, the Chair shall declare that three (3) members of the Board have concurred in the selection of such applicant and that such applicant shall be declared by the Chair to be appointed to fill the vacant office. The person so appointed shall be prepared to formally assume the office not later than twenty (20) business days following the selection by the Board of Supervisors.

**Sunset Date**

This policy will be reviewed for continuance by 12-31-12.

**Board Action**

5-6-86 (44)

3-3-92 (23)

9-29-92 (36)

5-11-04 (04)

12-09-08 (33)

**CAO Reference**

1. Clerk of the Board of Supervisors

***Excerpt from the Charter of the County of San Diego regarding the Office of the County Sheriff***

**ARTICLE VI  
ELECTIVE OFFICERS**

**Section 600: Elective Officers.** In addition to Supervisors, the elective officers are:

- (a) Assessor/Recorder/County Clerk
- (b) District Attorney
- (c) Sheriff, and
- (d) Treasurer/Tax Collector,

each of whom is nominated and elected according to general law and this Charter.

The members of the County Board of Education are elective officers of the County Board of Education pursuant to Section 603. (Amended, effective 8-7-86; amended, effective 12-26-90; amended, effective; 11-2-93; amended, effective 9-11-06)

**Section 605: Sheriff.** The Sheriff shall organize the Sheriff's Department for efficient and effective law enforcement.



**SHERIFF**Class Code:  
000160COUNTY OF SAN DIEGO  
Established Date: Jun 25, 1982  
Revision Date: Apr 10, 2009**SALARY RANGE**\$100.05 - \$100.05 Hourly  
\$8,004.00 - \$8,004.00 Biweekly  
\$17,342.00 - \$17,342.00 Monthly  
\$208,104.00 - \$208,104.00 Annually

The Charter of the County of San Diego, Article VI, provides for Elective Officers. The Sheriff is an elective officer who is nominated and elected according to general law.

The Sheriff is responsible for organizing the Sheriff's Department for efficient and effective law enforcement.

New: June 25, 1982  
Revised: Spring 2004  
Revised: April 10, 2009

Sheriff (Class No. 000160)

Union Code: EO

Variable Entry: N

***Excerpt from Government Code Section 24004 regarding the minimum requirements to become Sheriff:***

24004.3. (a) No person is eligible to become a candidate for the office of sheriff in any county unless, at the time of the final filing date for election, he or she meets one of the following criteria:

(1) An active or inactive advanced certificate issued by the Commission on Peace Officer Standards and Training.

(2) One year of full-time, salaried law enforcement experience within the provisions of Section 830.1 or 830.2 of the Penal Code at least a portion of which shall have been accomplished within five years prior to the date of filing, and possesses a master's degree from an accredited college or university.

(3) Two years of full-time, salaried law enforcement experience within the provisions of Section 830.1 or 830.2 of the Penal Code at least a portion of which shall have been accomplished within five years prior to the date of filing, and possesses a bachelor's degree from an accredited college or university.

(4) Three years of full-time, salaried law enforcement experience within the provisions of Section 830.1 or 830.2 of the Penal Code at least a portion of which shall have been accomplished within five years prior to the date of filing, and possesses an associate in arts or associate in science degree, or the equivalent, from an accredited college.

(5) Four years of full-time, salaried law enforcement experience within the provisions of Section 830.1 or 830.2 of the Penal Code at least a portion of which shall have been accomplished within five years prior to the date of filing, and possesses a high school diploma or the equivalent.

(b) All persons holding the office of sheriff on January 1, 1989 shall be deemed to have met all qualifications required for candidates seeking election or appointment to the office of sheriff.

**SAN DIEGO COUNTY SHERIFF'S DEPARTMENT**  
**MANUAL OF POLICIES AND PROCEDURES** 0000159

DATE	DISSEMINATION	CATEGORY	NUMBER
02-09-98	All Personnel	3 Personnel	3.7
<b>SUBJECT:</b> <p align="center">OUTSIDE EMPLOYMENT</p>			
<b>RELATED SECTIONS:</b>			
<b>IN COMPLIANCE WITH:</b>			
<p>3.7 POLICY</p> <p>A Department employee shall not engage in outside supplemental employment unless prior written authorization is obtained from the employee's Assistant Sheriff/Executive Director.</p>			
<p>3.7 PROCEDURE</p> <p>A. An employee of the Sheriff's Department intending to engage in outside employment shall disclose the proposed employment in writing, on department form PER 20 (Disclosure of Outside Employment or Activity) via the chain of command, to his/her Assistant Sheriff/Executive Director, who will determine if the intended employment would conflict with County duties.</p> <p>Form PER 20 shall be distributed twice a year (August and February) by the Personnel Division. Completed PER 20 forms shall be retained in the Payroll Unit for a period of five (5) years. These forms shall be made available for audit purposes to the Auditor &amp; Controller.</p> <p>If the Assistant Sheriff/Executive Director disapproves the intended outside employment, he/she shall notify the employee within 10 days of that determination and state the rationale for the disapproval. The employee may appeal that decision in writing to the Undersheriff.</p>			

**SAN DIEGO COUNTY SHERIFF'S DEPARTMENT**  
**MANUAL OF POLICIES AND PROCEDURES** 0000160

DATE	DISSEMINATION	CATEGORY	NUMBER
02-09-98	All Personnel	3 Personnel	3.7

SUBJECT:

OUTSIDE EMPLOYMENT

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Should any employee engaged in approved outside employment become injured or otherwise incapacitated to the extent that the employee is unable to perform the duties of his/her County position, that person must obtain reconfirmation of the prior approval before continuing that outside employment.

- B. If any employee of the Sheriff's Department receives an assignment of work that relates to any organization, property or activity in which the employee or a member of the employee's immediate family has an interest, he/she shall report such interest, in writing, to their Assistant Sheriff/Executive Director.

3.7 INCOMPATIBLE OUTSIDE EMPLOYMENT

An employee of the Sheriff's Department shall not engage in any outside employment involving the following:

- A. Any outside employment which involves the use of County time, facilities, equipment or materials for private gain or advantage as follows:
1. Any outside employment which results in receipt of telephone calls or visitors by the employee while on duty at his/her County employment.
  2. Any publication for private gain of reports, studies or other written materials that were prepared on County time or utilized County facilities, equipment and/or materials, except when specifically authorized by the Sheriff.
  3. Any outside employment which would interfere during business hours with the full time devotion and attention of the employee to the duties and responsibilities of the Sheriff's Department.
- B. Any employment which involves the use of the badge, uniform, gun or influence of the individual's county employment for private gain or advantage including the following:

**SAN DIEGO COUNTY SHERIFF'S DEPARTMENT**  
**MANUAL OF POLICIES AND PROCEDURES** 0000161

DATE	DISSEMINATION	CATEGORY	NUMBER
02-09-98	All Personnel	3 Personnel	3.7

**SUBJECT:**

**OUTSIDE EMPLOYMENT**

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Approved and/or authorized by the Board  
of Supervisors of the County of San Diego  
Date: 11/10/98 Minute Order No. 52  
THOMAS J. PASTUSZKA  
Clerk of the Board of Supervisors  
By [Signature] Deputy Clerk

1. The direct or indirect soliciting, seeking or accepting of personal loans, gifts, gratuities, business compensation or favors from the general public, private business firms or their agents who deal with the Sheriff's Department or any other agency or department of the County of San Diego.
  2. The using of information not readily available to the general public, gained in the course of County employment, for private gain or advantage or the gain or advantage of another.
- C. Any employment which involves the receipt by employee of monies or other considerations from private parties for the performance of acts which the employee is expected to render in the regular course of duties as a County employee, including any consultation work for a fee or other remuneration concerning the application or interpretation of orders, directives or other communications of the Sheriff's Department or any other agency or department of the County of San Diego.
- D. Any employment which is in conflict with the duties and responsibilities of the employee's department, including those prohibited activities as set forth in Government Code 24004, and:
1. Any outside employment which will impair the employee's independence of judgment as to his/her County employment.
  2. Any outside employment which will require or induce an employee to disclose confidential information acquired in or during the course and scope of his/her County employment.
- E. Any employment which involves time demands which render the performance of County duties less efficient.
- F. Specific examples of prohibited outside employment include, but are not limited to, the sale or distribution of alcoholic beverages as the primary business, or produce investigative work for insurance companies, work for private guard services, collections agencies, attorneys or bail bond agencies, or work for an employer who has been convicted of a felony or who openly associates with convicted felons.



COUNTY OF SAN DIEGO

APPLICATION FOR APPOINTMENT OF THE  
ELECTIVE OFFICE OF THE COUNTY SHERIFF

**INSTRUCTIONS:** *The Application for Appointment of the Elective Office of the County Sheriff is composed of six parts. All parts must be submitted in order for the application to be considered complete.*

*(For Official Use Only)*

\_\_\_\_\_  
*Last Name*

\_\_\_\_\_  
*First Name*

\_\_\_\_\_  
*Middle  
Initial*

**Application Requirements:**

*The following must be attached to this form in order for your application to be considered complete:*

- ☐ Part I: Contact information (form provided)
- ☐ Part II: Certifications (form provided)
- ☐ Part III: A current resume containing, as a minimum, all employment for the previous five years.
- ☐ Part IV: A written statement outlining your qualifications for the County Sheriff position (500 word maximum)
- ☐ Part V: A written statement explaining your reasons for wishing to be appointed to the position of County Sheriff
- ☐ Part VI: A completed Statement of Economic Interest Form (Form 700) (form provided)

I, \_\_\_\_\_, as a candidate for appointment of the County of San Diego Sheriff declare that all information provided on this form by me, including all attachments, is true and correct. If requested, I agree to provide written responses to any questions.

I have received the application packet and have read and understand Board of Supervisor's Policy A-105, which establishes the procedures for appointment to fill vacancies of elected offices other than Board of Supervisors, as well as the other codes and rules applicable to the County Sheriff.

I understand that finalists will be subject to a full background investigation and the selected candidate will be required to pass the County's standard medical exam.

I certify under penalty of perjury that the foregoing is true and correct.

Executed on this \_\_\_\_\_ day of \_\_\_\_\_, 2009, at \_\_\_\_\_, California.

\_\_\_\_\_  
*Applicant's Signature*

**The completed application must be submitted in person, by 5 p.m., June 10, 2009, to:**

Clerk of the Board of Supervisors  
County Administration Center  
1600 Pacific Highway, Room 402  
San Diego, CA 92101

**THIS IS A PUBLIC RECORD SUBJECT TO DISCLOSURE.**

**Note:** Personal information may be withheld from public view as allowed by law.



## COUNTY OF SAN DIEGO

### APPLICATION FOR APPOINTMENT OF THE ELECTIVE OFFICE OF THE COUNTY SHERIFF

#### Part I. Contact Information

*Please print.*

_____ <i>Last Name</i>	_____ <i>First Name</i>	_____ <i>Middle Initial</i>
---------------------------	----------------------------	--------------------------------

_____ <i>Current Street Address</i>	_____ <i>City</i>	_____ <i>State</i>	_____ <i>Zip</i>
_____ <i>Home Phone #</i>	_____ <i>Business Phone #</i>	_____ <i>Date of Birth</i>	_____ <i>Place of Birth</i>
_____ <i>E-Mail Address</i>			

#### **Please list your residence addresses for the past five years:**

_____ <i>From</i>	_____ <i>To</i>	_____ <i>Street Address</i>	_____ <i>City</i>	_____ <i>State</i>	_____ <i>Zip</i>
_____ <i>From</i>	_____ <i>To</i>	_____ <i>Street Address</i>	_____ <i>City</i>	_____ <i>State</i>	_____ <i>Zip</i>
_____ <i>From</i>	_____ <i>To</i>	_____ <i>Street Address</i>	_____ <i>City</i>	_____ <i>State</i>	_____ <i>Zip</i>
_____ <i>From</i>	_____ <i>To</i>	_____ <i>Street Address</i>	_____ <i>City</i>	_____ <i>State</i>	_____ <i>Zip</i>

I certify under penalty of perjury that the foregoing is true and correct.

Signed on this \_\_\_\_ day of \_\_\_\_\_, 2009, at \_\_\_\_\_, California.

\_\_\_\_\_  
*Applicant's Signature*

**THIS IS A PUBLIC RECORD SUBJECT TO DISCLOSURE.**

**Note: Personal information may be withheld from public view as allowed by law.**



## COUNTY OF SAN DIEGO

### APPLICATION FOR APPOINTMENT OF THE ELECTIVE OFFICE OF THE COUNTY SHERIFF

### Part II. Certifications

*Please print.*

<hr/>	<hr/>	<hr/>
<i>Last Name</i>	<i>First Name</i>	<i>Middle Initial</i>

As a candidate for appointment of the County of San Diego Sheriff, I declare the following:

- ☐ YES      ☐ NO      I am a registered voter of the County of San Diego.
- ☐ YES      ☐ NO      I am a citizen of the United States.
- ☐ YES      ☐ NO      I have the minimum combined law enforcement experience and education (pursuant to Government Code §24004.3), **select all that apply:**
- ☐ Currently, or previously, a POST-certified peace officer, with at least an advanced training certificate.
  - ☐ One year of full-time, salaried law enforcement experience within the provisions of Section 830.1 or 830.2 of the Penal Code at least a portion of which shall have been accomplished within five years prior to the date of filing, and possesses a master's degree from an accredited college or university.
  - ☐ Two years of full-time, salaried law enforcement experience within the provisions of Section 830.1 or 830.2 of the Penal Code at least a portion of which shall have been accomplished within five years prior to the date of filing, and possesses a bachelor's degree from an accredited college or university.
  - ☐ Three years of full-time, salaried law enforcement experience within the provisions of Section 830.1 or 830.2 of the Penal Code at least a portion of which shall have been accomplished within five years prior to the date of filing, and possesses an associate in arts or associate in science degree, or the equivalent, from an accredited college.
  - ☐ Four years of full-time, salaried law enforcement experience within the provisions of Section 830.1 or 830.2 of the Penal Code at least a portion of which shall have been accomplished within five years prior to the date of filing, and possesses a high school diploma or the equivalent.
- ☐ YES      ☐ NO      I have not been convicted of a crime that disqualifies me from holding elected office.
- If no, please explain (attach additional sheets if necessary):**

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*Continued on next page*



APPLICATION FOR APPOINTMENT OF THE ELECTIVE OFFICE OF THE COUNTY SHERIFF  
PART II. Certifications (page 2)

- ☐ YES      ☐ NO      I am able to formally assume the position not later than twenty (20) business days following the selection by the Board of Supervisors.
- ☐ YES      ☐ NO      I am not involved in outside activities that may be in conflict with the functions and responsibilities of the County Sheriff as listed in the Rules for Incompatible Activities for the County Sheriff.  
**If no, please explain (attach additional sheets if necessary):**

\_\_\_\_\_  
\_\_\_\_\_

I certify under penalty of perjury that the foregoing is true and correct.

Signed on this \_\_\_\_\_ day of \_\_\_\_\_, 2009, at \_\_\_\_\_, California.

\_\_\_\_\_  
*Applicant's Signature*



2008/2009

# FORM 700

## Statement of Economic Interests

Also available on the FPPC website:  
Form 700 Reference Pamphlet

a public document

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### **Fair Political Practices Commission**

428 J Street, Suite 620 • Sacramento, CA 95814

Toll-Free Advice Line: 866-ASK-FPPC • (866) 275-3772

Telephone: (916) 322-5660

[www.fppc.ca.gov](http://www.fppc.ca.gov)

## What's New

- Gift limit increased to \$420.
- New restrictions on receiving tickets to nonprofit and political fundraisers.

More information is in the Reference Pamphlet.

## Who must file:

- Elected and appointed officials and candidates listed in Government Code Section 87200.
- Employees and appointed officials filing pursuant to a conflict-of-interest code. Obtain your disclosure categories, which describe the interests you must report, from your agency. They are not part of the Form 700.
- Candidates running for local elective offices that are designated in a conflict-of-interest code (for example, county sheriffs, city clerks, school board trustees, and water board members).
- Members of newly created boards and commissions not yet covered under a conflict-of-interest code.

(See Form 700 Reference Pamphlet, page 2, at [www.fppc.ca.gov](http://www.fppc.ca.gov) or obtain from your filing officer.)

## Where to file:

### 87200 Filers

State offices	➔ Your agency
Judicial offices	➔ The clerk of your court
Retired Judges	➔ Directly with FPPC
Legislative Staff	➔ Directly with FPPC
County offices	➔ Your county filing official
City offices	➔ Your city clerk
Multi-County offices	➔ Your agency

### Members of Boards/Commissions of Newly Created Agencies:

File with your newly created agency or with your agency's code reviewing body as provided by the code reviewing body.

### Code Filers — State and Local Officials and Employees Designated in a Conflict-of-Interest Code:

File with your agency, board, or commission unless otherwise specified in your agency's conflict-of-interest code. In most cases, the agency, board, or commission will retain the statements.

Candidates file with their local elections office.

## How to file:

A Form 700 should be provided to you by your filing official. An interactive version of the Form 700 is available on our website at [www.fppc.ca.gov](http://www.fppc.ca.gov).

You only have to report investments and business positions in business entities, real property, and income from sources that are located in or doing business in your agency's jurisdiction. However, reportable gifts must be disclosed regardless of the jurisdiction. See Form 700 Ref. Pamphlet, page 12, for more information.

## When to file:

### Annual Statements

#### ➔ March 2, 2009\*

- Elected State Officers
- Judges and Court Commissioners
- State Board/Commission Members listed in Government Code Section 87200

#### ➔ April 1, 2009

- Most other filers

Individuals filing under conflict-of-interest codes in city and county jurisdictions should verify the annual filing date with their local filing officer.

\*Because March 1 is a Sunday, the deadline is extended. Statements postmarked by the filing deadline are considered timely filed.

### Assuming, Leaving, and Initial Statements

Most filers file within 30 days of assuming or leaving office or within 30 days of the effective date of a newly adopted or amended conflict-of-interest code.

### Candidate Statements

File no later than the final filing date for the declaration of candidacy or nomination documents.

### Amendments

Statements may be amended at any time. You are only required to amend the schedule that needs to be revised. It is not necessary to amend the entire filed form. Obtain amendment schedules from your filing official or interactively at [www.fppc.ca.gov](http://www.fppc.ca.gov).

**Statements that are mailed are considered filed on the postmark date. There is no provision for filing deadline extensions.** Statements of 30 pages or less may be faxed by the deadline as long as the originally signed paper version is sent by first class mail to the filing officer within 24 hours.

## INTRODUCTION

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The Political Reform Act (Gov. Code Sections 81000-91014) requires most state and local government officials and employees to publicly disclose their personal assets and income. They also must disqualify themselves from participating in decisions which may affect their personal economic interests. The Fair Political Practices Commission (FPPC) is the state agency responsible for issuing the attached Statement of Economic Interests, Form 700, and for interpreting the law's provisions.

### Gift Prohibition

Gifts received by most state and local officials, employees, and candidates are subject to limit. For 2007-2008, the gift limit was \$390 from a single source during a calendar year. For 2009-2010, the limit increased to \$420 from a single source during a calendar year.

In addition, state officials, state candidates, and certain state employees are subject to a \$10 limit per calendar month on gifts from lobbyists and lobbying firms registered with the Secretary of State. (See Ref. Pamphlet, page 9, for detailed information.)

State and local officials and employees also should check with their agency to determine if any other restrictions apply.

### Honorarium Ban

Most state and local officials, employees, and candidates are prohibited from accepting an honorarium for any speech given, article published, or attendance at a conference, convention, meeting, or like gathering. (See Ref. Pamphlet, page 9, for detailed information.)

### Loan Restrictions

Certain state and local public officials are subject to restrictions on loans. (See Ref. Pamphlet, page 13, for detailed information.)

### Disqualification

Public officials are, under certain circumstances, required to disqualify themselves from making, participating in, or attempting to influence governmental decisions that will affect their economic interests. This may include interests they are not required to disclose (for example, a personal residence is often not reportable, but may be disqualifying). Specific disqualification requirements apply to 87200 filers (for example, city councilmembers, members of boards of supervisors and planning commissioners). These officials must orally identify the economic interest that creates a conflict of interest and leave the room before a discussion or vote takes place at a public meeting. For more information, consult Government Code Section 87105 and Regulation 18702.5, or refer to the booklet entitled "Can I Vote? Conflicts of Interest Overview," all of which are available on the FPPC website. Visit [www.fppc.ca.gov](http://www.fppc.ca.gov) and click on the Library & Publications icon.

### Post-Governmental Employment

There are restrictions on representing clients or employers before former agencies. The provisions apply to elected state officials, most state employees, local elected officials, county chief administrative officers, city managers, including the chief administrator of a city, and general managers or chief administrators of local special districts. The FPPC website has fact sheets explaining the provisions.

### Late Filing

The filing officer who retains originally signed statements of economic interests may impose on an individual a fine for any statement that is filed late. The fine is \$10 per day up to a maximum of \$100. Late filing penalties can be reduced or waived under certain circumstances.

Persons who fail to timely file their Form 700 may be referred to the FPPC's Enforcement Division (and, in some cases, to the Attorney General or district attorney) for investigation and possible prosecution. In addition to the late filing penalties, a fine of up to \$5,000 per violation may be imposed.

**For assistance** concerning reporting, prohibitions, and restrictions under the Act:

- Call the FPPC toll-free at (866) ASK-FPPC.
- See the booklet entitled "Your Duty to File: A Basic Overview of State Economic Disclosure Law and Reporting Requirements for Public Officials."

### Form 700 Public Access

Statements of Economic Interests are public documents. The filing officer must permit any member of the public to inspect and copy any statement.

- Forms must be available as soon as possible during the agency's regular business hours, but in any event not later than the second business day after the statement is received.
- No conditions may be placed on persons seeking access to the forms.
- No information or identification may be required from persons seeking access.

Reproduction fees of no more than 10 cents per page may be charged.

## INSTRUCTIONS — COVER PAGE

Enter your name, mailing address, and daytime telephone number in the spaces provided. Because the Form 700 is a document available for public review, you may list your business/office address instead of your home address.

### Part 1. Office, Agency, or Court

- Enter the name of the office sought or held, or the agency or court. Consultants must enter the public agency name rather than their private firm name. (Examples: State Assembly; Board of Supervisors; Office of the Mayor; Department of Finance; Hope County Superior Court.)
- Indicate the name of your division, board, or district, if applicable. (Examples: Division of Waste Management; Board of Accountancy; District 45.)
- Enter your position title. (Examples: Director; Chief Counsel; City Council Member; Staff Services Analyst.)
- If you hold multiple positions (for example, a city council member who also is a member of a county board or commission), you may be required to file statements with each agency.

To simplify your filing obligations, you may complete an expanded statement.

To do this, enter the name of the other agency(ies) with which you are required to file and your position title(s) in the space provided. Attach an additional sheet if necessary. Complete one statement covering the disclosure requirements for all positions. Each copy must contain an original signature. Therefore, before signing a statement, make a copy for each agency. Sign each copy with an original signature and file with each agency.

Remember that if you assume or leave a position after a filing deadline, you must complete a separate statement. For example, a city council member who assumes a position with a county special district after the April 1 annual filing deadline must file a separate assuming office statement. In subsequent years, the city council member may expand his or her annual filing to include both positions.

### Part 2. Jurisdiction of Office

- Check the box indicating the jurisdiction of your agency and, if applicable, identify the jurisdiction. Judges, judicial candidates, and court commissioners have statewide jurisdiction. All other filers should review Ref. Pamphlet, page 12, to determine their jurisdiction.
- If your agency is a multi-county office, list each county in which your agency has jurisdiction.

- If your agency is not a state office, court, county office, city office, or multi-county office (for example, school districts and special districts), check the “other” box and enter the county or city in which the agency has jurisdiction.

<b>1. Office, Agency, or Court</b>
Name of Office, Agency, or Court: South Sutter Water District
Division, Board, District, if applicable:
Your Position: Board member
<input type="checkbox"/> If filing for multiple positions, list additional agency(ies)/ position(s): (Attach a separate sheet if necessary.)
Agency:
Position:
<b>2. Jurisdiction of Office</b> (Check at least one box)
<input type="checkbox"/> State
<input type="checkbox"/> County of _____
<input type="checkbox"/> City of _____
<input type="checkbox"/> Multi-County _____
<input checked="" type="checkbox"/> Other: Portions of Yuba & Sutter County

### Example:

This filer is a member of a water district board with jurisdiction in portions of Yuba and Sutter County.

### Part 3. Type of Statement

Check at least one box. The period covered by a statement is determined by the type of statement you are filing. If you are completing a 2008 Annual Statement, **do not** change the pre-printed dates to reflect 2009. Your annual statement is used for reporting the previous year's economic interests. Economic interests for your annual filing covering January 1, 2008, through December 31, 2008, will be disclosed on your statement filed in 2009. (See Ref. Pamphlet, page 3, for detailed information about types of statements.)

Combining Statements: Certain types of statements may be combined. For example, if you leave office after January 1 but before the deadline for filing your annual statement, you may combine your annual and leaving office statements. File by the earliest deadline. Consult your filing officer or the FPPC.

### Part 4. Schedule Summary

- Enter the total number of completed pages including the cover page and, either:

Check the “Yes” box for each schedule you use to disclose interests.

- or -

If you have nothing to disclose on any schedules, check the “No reportable interests” box. Please do not attach any blank schedules.

### Part 5. Verification

Complete the verification by signing the statement and entering the date signed. When you sign your statement, you are stating, under penalty of perjury, that it is true and correct. Only the filer has authority to sign the statement.

**An unsigned statement is not considered filed and you may be subject to late filing penalties.**

**COVER PAGE**

*A Public Document*

Please type or print in ink.

NAME (LAST)	(FIRST)	(MIDDLE)	DAYTIME TELEPHONE NUMBER ( )
MAILING ADDRESS (May use business address)	STREET	CITY	STATE ZIP CODE OPTIONAL: FAX / E-MAIL ADDRESS

**1. Office, Agency, or Court**

Name of Office, Agency, or Court:

Division, Board, District, if applicable:

Your Position:

► If filing for multiple positions, list additional agency(ies)/ position(s): (Attach a separate sheet if necessary.)

Agency: \_\_\_\_\_

Position: \_\_\_\_\_

**2. Jurisdiction of Office (Check at least one box)**

- ☐ State
- ☐ County of \_\_\_\_\_
- ☐ City of \_\_\_\_\_
- ☐ Multi-County \_\_\_\_\_
- ☐ Other \_\_\_\_\_

**3. Type of Statement (Check at least one box)**

☐ Assuming Office/Initial Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

☐ Annual: The period covered is January 1, 2008, through December 31, 2008.

**-or-**

☐ The period covered is \_\_\_\_/\_\_\_\_/\_\_\_\_, through December 31, 2008.

☐ Leaving Office Date Left: \_\_\_\_/\_\_\_\_/\_\_\_\_  
(Check one)

☐ The period covered is January 1, 2008, through the date of leaving office.

**-or-**

☐ The period covered is \_\_\_\_/\_\_\_\_/\_\_\_\_, through the date of leaving office.

☐ Candidate Election Year: \_\_\_\_\_

**4. Schedule Summary**

► Total number of pages including this cover page: \_\_\_\_\_

► Check applicable schedules or "No reportable interests."

I have disclosed interests on one or more of the attached schedules:

Schedule A-1 ☐ Yes – schedule attached  
*Investments (Less than 10% Ownership)*

Schedule A-2 ☐ Yes – schedule attached  
*Investments (10% or greater Ownership)*

Schedule B ☐ Yes – schedule attached  
*Real Property*

Schedule C ☐ Yes – schedule attached  
*Income, Loans, & Business Positions (Income Other than Gifts and Travel Payments)*

Schedule D ☐ Yes – schedule attached  
*Income – Gifts*

Schedule E ☐ Yes – schedule attached  
*Income – Gifts – Travel Payments*

**-or-**

☐ No reportable interests on any schedule

**5. Verification**

I have used all reasonable diligence in preparing this statement. I have reviewed this statement and to the best of my knowledge the information contained herein and in any attached schedules is true and complete.

**I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.**

Date Signed \_\_\_\_\_  
(month, day, year)

Signature \_\_\_\_\_  
(File the originally signed statement with your filing official.)

## WHAT SCHEDULE DO I USE?

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### COMMON REPORTABLE INTERESTS

Schedule A-1:	Stocks
Schedule A-2:	Business entities, partnerships, LLCs, corporations, trusts
Schedule B:	Rental property in the jurisdiction
Schedule C:	Non-government salaries of public official and spouse/registered domestic partner
Schedule D:	Gifts from non-family members (such as tickets to sporting or entertainment events)
Schedule E:	Travel payments from third parties (not your employer)

### COMMON NON-REPORTABLE INTERESTS

Schedule A-1/A-2:	Diversified mutual funds registered with the SEC under the Investment Company Act of 1940 and certain retirement accounts invested in insurance policies or governmental bonds
Schedule A-1/A-2:	Savings and checking accounts
Schedule B:	A residence used exclusively as a personal residence (such as a home, vacation cabin)
Schedule C:	Government salary (such as a school district)
Schedule D:	Gifts from family members
Schedule E:	Travel paid by your government agency

**Remember:** Mark the “no reportable interests” box on Part 4 of the schedule summary if you determine you have nothing to disclose and file the cover page only. **Make sure you carefully read all instructions to ensure proper reporting.**

The Form 700 is a public document.

Most individuals must consult the agency’s conflict-of-interest code for reportable interests.

Most individuals file the Form 700 with their agency.



## QUESTIONS AND ANSWERS

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- Q. What is the reporting period for disclosing interests on an assuming office statement or a candidate statement?
- A. On an assuming office statement, disclose all reportable investments, interests in real property, and business positions held on the date you assumed office. In addition, you must disclose income (including loans, gifts and travel payments) received during the 12 months prior to the date you assumed office.

On a candidate statement, disclose all reportable investments, interests in real property, and business positions held on the date you file your declaration of candidacy. In addition, you must disclose income (including loans, gifts and travel payments) received during the 12 months prior to the date you file your declaration of candidacy.

- Q. I hold two other board positions in addition to my position with the county. Must I file three statements of economic interests?
- A. Yes. However, you may complete one statement listing the county and the two boards on the cover page of the Form 700 as the agencies for which you will be filing. Report your economic interests using the broadest jurisdiction and disclosure requirements assigned to you by the three agencies. Make two copies of the entire statement **before signing it**, sign each copy with an original signature, and distribute one original to the county and to each of the two boards. Remember to complete separate statements for positions that you leave or assume during the year.
- Q. I am classified as a department head but recently began acting as city manager. Should I file as the city manager?
- A. Yes. File an assuming office statement as city manager. Persons serving as “acting”, “interim”, or “alternate” must file as if they hold the position.
- Q. I left one state agency to work for another state agency. Must I file a leaving office statement?
- A. Yes.

### Investment Disclosure

- Q. I have an investment interest in shares of stock in a company that does not have an office in my jurisdiction. Must I still disclose my investment interest in this company?
- A. Probably. The definition of “doing business in the jurisdiction” is not limited to whether the business has an office in your jurisdiction. See Ref. Pamphlet, page 12, for guidance.
- Q. My spouse and I have a living trust. The trust holds rental property in my jurisdiction, our primary residence, and investments in diversified mutual funds. I have full disclosure. How is this trust disclosed?
- A. Disclose the name of the trust, the rental property and its income on Schedule A-2. Your primary residence and investments in diversified mutual funds registered with the SEC are not reportable.
- Q. I am required to report all investments. I hold many stocks through an account managed by a brokerage firm. Must I disclose these stocks even though I did not decide which stocks to purchase?
- A. Yes, you must disclose on Schedule A-1 or A-2 any stock worth \$2,000 or more in a business entity located in or doing business in your jurisdiction.

### Income Disclosure

- Q. I reported a business entity on Schedule A-2. Clients of my business are located in several states. Must I report all clients from whom my pro rata share of income is \$10,000 or more on Schedule A-2, Part 3?
- A. No, only the clients doing business on a regular basis in your jurisdiction must be disclosed.
- Q. I believe I am not required to disclose the names of clients from whom my pro rata share of income is \$10,000 or more on Schedule A-2 because of their right to privacy. Is there an exception for reporting clients' names?
- A. Regulation 18740 provides a procedure in which a client's name may not be disclosed if disclosure of the name would violate a legally recognized privilege under California law. This regulation may be obtained from our website at [www.fppc.ca.gov](http://www.fppc.ca.gov).



## QUESTIONS AND ANSWERS

### Continued

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- Q. I am the sole owner of my business. Where do I disclose my income - on Schedule A-2 or Schedule C?
- A. Sources of income to a business in which you have an ownership interest of 10% or greater are disclosed on Schedule A-2. (See Ref. Pamphlet, page 7, which defines "business entity," for more information.)
- Q. How do I disclose my spouse's or registered domestic partner's income from an employer?
- A. Report the name of the employer as a source of income on Schedule C.
- Q. I am a doctor. For purposes of reporting \$10,000 sources of income on Schedule A-2, Part 3, are the patients or their insurance carriers considered sources of income?
- A. If your patients exercise sufficient control by selecting you instead of other doctors, your patients, rather than their insurance carriers, are sources of income to you.
- Q. Mary and Joe Benson, a married couple, want to give a piece of artwork to a close friend who is a county supervisor. Is each spouse considered a separate source for purposes of the gift limit and disclosure?
- A. Yes, each spouse may make a gift valued at \$420 during 2009-2010. Therefore, the Bensons may give the supervisor artwork valued at no more than \$840. (During 2007-2008, the gift limit was \$390 from a single source during a calendar year.) The supervisor must identify Joe and Mary Benson as the source of the gift.

#### Gift Disclosure

- Q. If I received a gift of two tickets to a concert valued at \$100 each, but gave the tickets to a friend because I could not attend the concert, do I have any reporting obligations?
- A. Yes. Since you accepted the gift and exercised discretion and control of the use of the tickets, you must disclose the gift on Schedule D.
- Q. Co-workers are hosting a retirement party for a public official before the official leaves office. Attendees will pay \$45; \$35 covers the event's costs (food, decorations, etc.) and \$10 goes toward a gift. One co-worker is collecting the funds and making the expenditures. What does the official report on his Form 700?
- A. The official discloses the amount that includes the value of the gift, plus \$35 (his pro rata share of the event's cost). The source can be identified as "office staff" or "co-workers." The names of individual donors are not required to be reported as long as no individual contributed \$50 or more.

## INSTRUCTIONS — SCHEDULES A-1 AND A-2 INVESTMENTS

“Investment” means a financial interest in any business entity which is located in, doing business in, planning to do business in, or which has done business during the previous two years in your agency’s jurisdiction in which you, your spouse or registered domestic partner, or your dependent children had a direct, indirect, or beneficial interest totaling \$2,000 or more at any time during the reporting period. (See Ref. Pamphlet, page 12.)

### Reportable investments include:

- Stocks, bonds, warrants, and options, including those held in margin or brokerage accounts and managed investment funds (See Ref. Pamphlet, page 12.)
- Sole proprietorships
- Your own business or your spouse’s or registered domestic partner’s business (See Ref. Pamphlet, page 7, for the definition of “business entity.”)
- Your spouse’s or registered domestic partner’s investments that are legally separate property
- Partnerships (for example, a law firm or family farm)
- Investments in reportable business entities held in a retirement account (See Ref. Pamphlet, page 14.)
- If you, your spouse or registered domestic partner, or dependent children had a 10% or greater ownership interest in a business entity or trust (including a living trust), you must disclose investments held by the business entity or trust. (See Ref. Pamphlet, page 14, for more information on disclosing trusts.)
- Business trusts

### You are not required to disclose:

- Diversified mutual funds registered with the Securities and Exchange Commission (SEC) under the Investment Company Act of 1940
- Bank accounts, savings accounts, and money market accounts
- Insurance policies
- Annuities
- Shares in a credit union
- Government bonds (including municipal bonds)
- Retirement accounts invested in non-reportable interests (for example, insurance policies, diversified mutual funds, or government bonds) (See Ref. Pamphlet, page 14.)

### REMINDERS

- Do you know your agency’s jurisdiction?
- Did you hold investments at any time during the period covered by this statement?
- Code filers – Your disclosure categories may only require disclosure of specific investments.

- Government defined-benefit pension plans
- Interests held in a blind trust (See Ref. Pamphlet, page 15.)

**Use Schedule A-1** to report ownership of less than 10% (for example, stock). Schedule C (Income) may also be required if the investment is not a stock or corporate bond. (See second example below.)

**Use Schedule A-2** to report ownership of 10% or greater (for example, a sole proprietorship).

### TO COMPLETE SCHEDULE A-1:

*Do not attach brokerage or financial statements.*

- Disclose the name of the business entity.
- Provide a general description of the business activity of the entity (for example, pharmaceuticals, computers, automobile manufacturing, or communications).
- Check the box indicating the highest fair market value of your investment during the reporting period. If you are filing a candidate or an assuming office statement, indicate the fair market value on the filing date or the date you took office, respectively.
- Identify the nature of your investment (for example, stocks, warrants, options, or bonds).
- If you initially acquired or disposed of your entire investment interest during the reporting period, enter the date acquired or disposed.

### Examples:

John Smith holds a state agency position. His conflict-of-interest code requires full disclosure of investments. John must disclose his stock holdings of \$2,000 or more in any company that does business in California, as well as those stocks held by his spouse or registered domestic partner and dependent children.

Susan Jones is a city council member. She has a 4% interest, worth \$5,000, in a limited partnership located in the city. Susan must disclose the partnership on Schedule A-1 and income of \$500 or more received from the partnership on Schedule C.

# SCHEDULE A-1

## Investments

### Stocks, Bonds, and Other Interests

(Ownership Interest is Less Than 10%)

Do not attach brokerage or financial statements.

CALIFORNIA FORM **700**

FAIR POLITICAL PRACTICES COMMISSION

Name \_\_\_\_\_

► NAME OF BUSINESS ENTITY

GENERAL DESCRIPTION OF BUSINESS ACTIVITY

FAIR MARKET VALUE

- ☐ \$2,000 - \$10,000      ☐ \$10,001 - \$100,000  
☐ \$100,001 - \$1,000,000      ☐ Over \$1,000,000

NATURE OF INVESTMENT

- ☐ Stock  
☐ Other \_\_\_\_\_  
(Describe)

IF APPLICABLE, LIST DATE:

\_\_\_\_/\_\_\_\_/08      \_\_\_\_/\_\_\_\_/08  
ACQUIRED      DISPOSED

► NAME OF BUSINESS ENTITY

GENERAL DESCRIPTION OF BUSINESS ACTIVITY

FAIR MARKET VALUE

- ☐ \$2,000 - \$10,000      ☐ \$10,001 - \$100,000  
☐ \$100,001 - \$1,000,000      ☐ Over \$1,000,000

NATURE OF INVESTMENT

- ☐ Stock  
☐ Other \_\_\_\_\_  
(Describe)

IF APPLICABLE, LIST DATE:

\_\_\_\_/\_\_\_\_/08      \_\_\_\_/\_\_\_\_/08  
ACQUIRED      DISPOSED

► NAME OF BUSINESS ENTITY

GENERAL DESCRIPTION OF BUSINESS ACTIVITY

FAIR MARKET VALUE

- ☐ \$2,000 - \$10,000      ☐ \$10,001 - \$100,000  
☐ \$100,001 - \$1,000,000      ☐ Over \$1,000,000

NATURE OF INVESTMENT

- ☐ Stock  
☐ Other \_\_\_\_\_  
(Describe)

IF APPLICABLE, LIST DATE:

\_\_\_\_/\_\_\_\_/08      \_\_\_\_/\_\_\_\_/08  
ACQUIRED      DISPOSED

► NAME OF BUSINESS ENTITY

GENERAL DESCRIPTION OF BUSINESS ACTIVITY

FAIR MARKET VALUE

- ☐ \$2,000 - \$10,000      ☐ \$10,001 - \$100,000  
☐ \$100,001 - \$1,000,000      ☐ Over \$1,000,000

NATURE OF INVESTMENT

- ☐ Stock  
☐ Other \_\_\_\_\_  
(Describe)

IF APPLICABLE, LIST DATE:

\_\_\_\_/\_\_\_\_/08      \_\_\_\_/\_\_\_\_/08  
ACQUIRED      DISPOSED

► NAME OF BUSINESS ENTITY

GENERAL DESCRIPTION OF BUSINESS ACTIVITY

FAIR MARKET VALUE

- ☐ \$2,000 - \$10,000      ☐ \$10,001 - \$100,000  
☐ \$100,001 - \$1,000,000      ☐ Over \$1,000,000

NATURE OF INVESTMENT

- ☐ Stock  
☐ Other \_\_\_\_\_  
(Describe)

IF APPLICABLE, LIST DATE:

\_\_\_\_/\_\_\_\_/08      \_\_\_\_/\_\_\_\_/08  
ACQUIRED      DISPOSED

► NAME OF BUSINESS ENTITY

GENERAL DESCRIPTION OF BUSINESS ACTIVITY

FAIR MARKET VALUE

- ☐ \$2,000 - \$10,000      ☐ \$10,001 - \$100,000  
☐ \$100,001 - \$1,000,000      ☐ Over \$1,000,000

NATURE OF INVESTMENT

- ☐ Stock  
☐ Other \_\_\_\_\_  
(Describe)

IF APPLICABLE, LIST DATE:

\_\_\_\_/\_\_\_\_/08      \_\_\_\_/\_\_\_\_/08  
ACQUIRED      DISPOSED

Comments: \_\_\_\_\_

## INSTRUCTIONS — SCHEDULE A-2

### INVESTMENTS, INCOME, AND ASSETS OF BUSINESS ENTITIES/TRUSTS

---

Use Schedule A-2 to report investments in a business entity or trust (including a living trust) in which you, your spouse or registered domestic partner, or your dependent children had a 10% or greater interest, totaling \$2,000 or more, during the reporting period and which is located in, doing business in, planning to do business in, or which has done business during the previous two years in your agency's jurisdiction. (See Ref. Pamphlet, page 12.) A trust located outside your agency's jurisdiction is reportable if it holds assets that are located in or doing business in the jurisdiction. You are not required to report a trust that contains no reportable interests. For example, if you have a trust containing only your personal residence, your savings account, and some municipal bonds, you would not report this trust because these interests are not reportable.

Also report on Schedule A-2 investments and real property held by that entity or trust if your pro rata share of the interest was \$2,000 or more during the reporting period.

#### TO COMPLETE SCHEDULE A-2:

**Part 1.** Disclose the name and address of the business entity or trust. If you are reporting an interest in a business entity, check "Business Entity" and complete the box as follows:

- Provide a general description of the business activity of the entity.
- Check the box indicating the fair market value of your investment.
- If you initially acquired or entirely disposed of this interest during the reporting period, enter the date acquired or disposed.
- Identify the nature of your investment.
- Disclose the job title or business position you held with the entity, if any (for example, if you were a director, officer, partner, trustee, employee, or held any position of management).

**Part 2.** Check the box indicating your **gross** income. Gross income is the total amount of income before deducting expenses, losses, or taxes. (This includes your pro rata share of the **gross** income **to the business entity or trust**, as well as your community property interest in your spouse's or registered domestic partner's share.)

**Part 3.** Disclose the name of each source of income which is located in, doing business in, planning to do business in, or which has done business during the previous two years in your agency's jurisdiction, as follows:

- Disclose each source of income and outstanding loan **to the business entity or trust** identified in Part 1 if

your pro rata share of the **gross** income (including your community property interest in your spouse's or registered domestic partner's share) to the business entity or trust from that source was \$10,000 or more during the reporting period. (See Ref. Pamphlet, page 10, for examples.) Income from governmental sources may be reportable if not considered salary. (See Regulation 18232.) Loans from commercial lending institutions made in the lender's regular course of business on terms available to members of the public without regard to your official status are **not reportable**.

- Disclose each individual or entity that was a source of commission income of \$10,000 or more during the reporting period through the business entity identified in Part 1. (See Ref. Pamphlet, page 7, for an explanation of commission income.)

You may be required to disclose sources of income located outside your jurisdiction. For example, you may have a client who resides outside your jurisdiction who does business on a regular basis with you. Such a client, if a reportable source of \$10,000 or more, must be disclosed.

Leave Part 3 blank if you do not have any reportable \$10,000 sources of income to disclose. Adding phrases such as "various clients" or "not disclosing sources pursuant to attorney-client privilege" may trigger a request for an amendment to your statement. (See Ref. Pamphlet, page 13, for details about privileged information.)

**Part 4.** Report any investments or interests in real property held **by the entity or trust** identified in part 1 if your pro rata share of the interest held was \$2,000 or more during the reporting period.

- Check the applicable box identifying the interest held as real property or an investment.
- If investment, provide the name and description of the business entity.
- If real property, report the address or other precise location (for example, an assessor's parcel number).
- Check the box indicating the fair market value of your interest in the real property or investment. (Report the fair market value of the portion of your residence claimed as a tax deduction if you are utilizing your residence for business purposes.)
- Identify the nature of your interest.
- Enter the date acquired or disposed only if you initially acquired or entirely disposed of your interest in the property or investment during the reporting period.

**SCHEDULE A-2**  
**Investments, Income, and Assets**  
**of Business Entities/Trusts**  
(Ownership Interest is 10% or Greater)

<b>CALIFORNIA FORM</b>	<b>700</b>
<b>FAIR POLITICAL PRACTICES COMMISSION</b>	
Name _____	

**▶ 1. BUSINESS ENTITY OR TRUST**

Name \_\_\_\_\_

Address \_\_\_\_\_

Check one

☐ Trust, go to 2      ☐ Business Entity, complete the box, then go to 2

**GENERAL DESCRIPTION OF BUSINESS ACTIVITY**

FAIR MARKET VALUE

IF APPLICABLE, LIST DATE:

☐ \$2,000 - \$10,000

☐ \$10,001 - \$100,000

☐ \$100,001 - \$1,000,000

☐ Over \$1,000,000

\_\_\_\_\_/\_\_\_\_\_/08  
ACQUIRED

\_\_\_\_\_/\_\_\_\_\_/08  
DISPOSED

NATURE OF INVESTMENT

☐ Sole Proprietorship    ☐ Partnership

☐ \_\_\_\_\_  
Other

YOUR BUSINESS POSITION \_\_\_\_\_

**▶ 1. BUSINESS ENTITY OR TRUST**

Name \_\_\_\_\_

Address \_\_\_\_\_

Check one

☐ Trust, go to 2      ☐ Business Entity, complete the box, then go to 2

**GENERAL DESCRIPTION OF BUSINESS ACTIVITY**

FAIR MARKET VALUE

IF APPLICABLE, LIST DATE:

☐ \$2,000 - \$10,000

☐ \$10,001 - \$100,000

☐ \$100,001 - \$1,000,000

☐ Over \$1,000,000

\_\_\_\_\_/\_\_\_\_\_/08  
ACQUIRED

\_\_\_\_\_/\_\_\_\_\_/08  
DISPOSED

NATURE OF INVESTMENT

☐ Sole Proprietorship    ☐ Partnership

☐ \_\_\_\_\_  
Other

YOUR BUSINESS POSITION \_\_\_\_\_

**▶ 2. IDENTIFY THE GROSS INCOME RECEIVED (INCLUDE YOUR PRO RATA SHARE OF THE GROSS INCOME TO THE ENTITY/TRUST)**

☐ \$0 - \$499

☐ \$10,001 - \$100,000

☐ \$500 - \$1,000

☐ OVER \$100,000

☐ \$1,001 - \$10,000

**▶ 2. IDENTIFY THE GROSS INCOME RECEIVED (INCLUDE YOUR PRO RATA SHARE OF THE GROSS INCOME TO THE ENTITY/TRUST)**

☐ \$0 - \$499

☐ \$10,001 - \$100,000

☐ \$500 - \$1,000

☐ OVER \$100,000

☐ \$1,001 - \$10,000

**▶ 3. LIST THE NAME OF EACH REPORTABLE SINGLE SOURCE OF INCOME OF \$10,000 OR MORE (attach a separate sheet if necessary)**

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**▶ 3. LIST THE NAME OF EACH REPORTABLE SINGLE SOURCE OF INCOME OF \$10,000 OR MORE (attach a separate sheet if necessary)**

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**▶ 4. INVESTMENTS AND INTERESTS IN REAL PROPERTY HELD BY THE BUSINESS ENTITY OR TRUST**

Check one box:

☐ INVESTMENT

☐ REAL PROPERTY

Name of Business Entity or

Street Address or Assessor's Parcel Number of Real Property

Description of Business Activity or

City or Other Precise Location of Real Property

FAIR MARKET VALUE

IF APPLICABLE, LIST DATE:

☐ \$2,000 - \$10,000

☐ \$10,001 - \$100,000

☐ \$100,001 - \$1,000,000

☐ Over \$1,000,000

\_\_\_\_\_/\_\_\_\_\_/08  
ACQUIRED

\_\_\_\_\_/\_\_\_\_\_/08  
DISPOSED

NATURE OF INTEREST

☐ Property Ownership/Deed of Trust

☐ Stock

☐ Partnership

☐ Leasehold \_\_\_\_\_  
Yrs. remaining

☐ Other \_\_\_\_\_

☐ Check box if additional schedules reporting investments or real property are attached

**▶ 4. INVESTMENTS AND INTERESTS IN REAL PROPERTY HELD BY THE BUSINESS ENTITY OR TRUST**

Check one box:

☐ INVESTMENT

☐ REAL PROPERTY

Name of Business Entity or

Street Address or Assessor's Parcel Number of Real Property

Description of Business Activity or

City or Other Precise Location of Real Property

FAIR MARKET VALUE

IF APPLICABLE, LIST DATE:

☐ \$2,000 - \$10,000

☐ \$10,001 - \$100,000

☐ \$100,001 - \$1,000,000

☐ Over \$1,000,000

\_\_\_\_\_/\_\_\_\_\_/08  
ACQUIRED

\_\_\_\_\_/\_\_\_\_\_/08  
DISPOSED

NATURE OF INTEREST

☐ Property Ownership/Deed of Trust

☐ Stock

☐ Partnership

☐ Leasehold \_\_\_\_\_  
Yrs. remaining

☐ Other \_\_\_\_\_

☐ Check box if additional schedules reporting investments or real property are attached

Comments: \_\_\_\_\_

## INSTRUCTIONS — SCHEDULE B INTERESTS IN REAL PROPERTY

Report interests in real property located in your agency's jurisdiction in which you, your spouse or registered domestic partner, or your dependent children had a direct, indirect, or beneficial interest totaling \$2,000 or more any time during the reporting period. (See Ref. Pamphlet, page 12.)

### Interests in real property include:

- An ownership interest (including a beneficial ownership interest)
- A deed of trust, easement, or option to acquire property
- A leasehold interest (See Ref. Pamphlet, page 13.)
- A mining lease
- An interest in real property held in a retirement account (See Ref. Pamphlet, page 14.)
- An interest in real property held by a business entity or trust in which you, your spouse or registered domestic partner, or your dependent children had a 10% or greater ownership interest (report on Schedule A-2)
- Your spouse's or registered domestic partner's interests in real property that are legally held separately by him or her

### You are not required to report:

- A residence, such as a home or vacation cabin, used exclusively as a personal residence (However, a residence for which you claim a business deduction may be reportable. If reportable, report the fair market value of the portion claimed as a tax deduction.)
- Interests in real property held through a blind trust (See Ref. Pamphlet, page 15, for exceptions.)

### TO COMPLETE SCHEDULE B:

- Report the address or other precise location (for example, an assessor's parcel number) of the real property.
- Check the box indicating the fair market value of your interest in the property (regardless of what you owe on the property).
- Enter the date acquired or disposed only if you initially acquired or entirely disposed of your interest in the property during the reporting period.
- Identify the nature of your interest. If it is a leasehold, disclose the number of years remaining on the lease.

### REMINDERS

- Income and loans already reported on Schedule B are not also required to be reported on Schedule C.
- Code filers – Do your disclosure categories require disclosure of real property?

- If you received rental income, check the box indicating the gross amount you received.
- If you had a 10% or greater interest in real property and received rental income, list the name of the source(s) if your pro rata share of the gross income from any single tenant was \$10,000 or more during the reporting period. If you received a total of \$10,000 or more from two or more tenants acting in concert (e.g., in most cases, this will apply to married couples), disclose the name of each tenant. Otherwise, leave this section blank.
- Loans from a private lender that total \$500 or more and are secured by real property may be reportable. Reportable loans may be disclosed on Schedule B or Schedule C. **Loans from commercial lending institutions made in the lender's regular course of business on terms available to members of the public without regard to your official status are not reportable.**
  - Provide the name and address of the lender.
  - Describe the lender's business activity.
  - Disclose the interest rate and term of the loan. The term of a loan is the total number of months or years given for repayment of the loan at the time the loan was entered into. For variable interest rate loans, disclose the conditions of the loan (for example, Prime + 2) or the average interest rate paid during the reporting period.
  - Check the box indicating the highest balance of the loan during the reporting period.
  - Identify a guarantor, if applicable.

If you have more than one reportable loan on a single piece of real property, report the additional loan(s) on Schedule C.

### Example:

Joe Nelson is a city planning commissioner. Joe received rental income of \$12,000 during the reporting period from a single tenant who rented property Joe owned in the city's jurisdiction. If Joe had received the \$12,000 from two or more tenants, the tenants' names would not be required as long as no single tenant paid \$10,000 or more.

STREET ADDRESS OR PRECISE LOCATION 4600 24th Street	
CITY Sacramento, CA 95814	
FAIR MARKET VALUE <input type="checkbox"/> \$2,000 - \$10,000 <input type="checkbox"/> \$10,001 - \$100,000 <input checked="" type="checkbox"/> \$100,001 - \$1,000,000 <input type="checkbox"/> Over \$1,000,000	IF APPLICABLE, LIST DATE: ACQUIRED <u>08</u> / <u>08</u> DISPOSED
NATURE OF INTEREST <input checked="" type="checkbox"/> Ownership/Deed of Trust <input type="checkbox"/> Easement <input type="checkbox"/> Leasehold <input type="checkbox"/> Yrs. remaining <input type="checkbox"/> Other	
IF RENTAL PROPERTY, GROSS INCOME RECEIVED <input type="checkbox"/> \$0 - \$499 <input type="checkbox"/> \$500 - \$1,000 <input type="checkbox"/> \$1,001 - \$10,000 <input checked="" type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> OVER \$100,000	
SOURCES OF RENTAL INCOME: If you own a 10% or greater interest, list the name of each tenant that is a single source of income of \$10,000 or more. Henry Wells	
NAME OF LENDER* Sophia Petroillo	
ADDRESS 2121 Blue Sky Parkway	
BUSINESS ACTIVITY OF LENDER Restaurant Owner	
INTEREST RATE 8 % <input type="checkbox"/> None	TERM (Months/Years) 15 Years
HIGHEST BALANCE DURING REPORTING PERIOD <input type="checkbox"/> \$500 - \$1,000 <input type="checkbox"/> \$1,001 - \$10,000 <input checked="" type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> OVER \$100,000	
<input type="checkbox"/> Guarantor, if applicable	



**SCHEDULE B**  
**Interests in Real Property**  
(Including Rental Income)

Name \_\_\_\_\_

► STREET ADDRESS OR PRECISE LOCATION

CITY \_\_\_\_\_

FAIR MARKET VALUE

- ☐ \$2,000 - \$10,000  
☐ \$10,001 - \$100,000  
☐ \$100,001 - \$1,000,000  
☐ Over \$1,000,000

IF APPLICABLE, LIST DATE:

\_\_\_\_/\_\_\_\_/08      \_\_\_\_/\_\_\_\_/08  
ACQUIRED      DISPOSED

NATURE OF INTEREST

- ☐ Ownership/Deed of Trust      ☐ Easement  
  
☐ Leasehold \_\_\_\_\_      ☐ \_\_\_\_\_  
Yrs. remaining      Other

IF RENTAL PROPERTY, GROSS INCOME RECEIVED

- ☐ \$0 - \$499      ☐ \$500 - \$1,000      ☐ \$1,001 - \$10,000  
☐ \$10,001 - \$100,000      ☐ OVER \$100,000

SOURCES OF RENTAL INCOME: If you own a 10% or greater interest, list the name of each tenant that is a single source of income of \$10,000 or more.

\_\_\_\_\_  
\_\_\_\_\_

► STREET ADDRESS OR PRECISE LOCATION

CITY \_\_\_\_\_

FAIR MARKET VALUE

- ☐ \$2,000 - \$10,000  
☐ \$10,001 - \$100,000  
☐ \$100,001 - \$1,000,000  
☐ Over \$1,000,000

IF APPLICABLE, LIST DATE:

\_\_\_\_/\_\_\_\_/08      \_\_\_\_/\_\_\_\_/08  
ACQUIRED      DISPOSED

NATURE OF INTEREST

- ☐ Ownership/Deed of Trust      ☐ Easement  
  
☐ Leasehold \_\_\_\_\_      ☐ \_\_\_\_\_  
Yrs. remaining      Other

IF RENTAL PROPERTY, GROSS INCOME RECEIVED

- ☐ \$0 - \$499      ☐ \$500 - \$1,000      ☐ \$1,001 - \$10,000  
☐ \$10,001 - \$100,000      ☐ OVER \$100,000

SOURCES OF RENTAL INCOME: If you own a 10% or greater interest, list the name of each tenant that is a single source of income of \$10,000 or more.

\_\_\_\_\_  
\_\_\_\_\_

\* You are not required to report loans from commercial lending institutions made in the lender's regular course of business on terms available to members of the public without regard to your official status. Personal loans and loans received not in a lender's regular course of business must be disclosed as follows:

NAME OF LENDER\*

ADDRESS \_\_\_\_\_

BUSINESS ACTIVITY OF LENDER \_\_\_\_\_

INTEREST RATE

\_\_\_\_\_%      ☐ None

TERM (Months/Years)

HIGHEST BALANCE DURING REPORTING PERIOD

- ☐ \$500 - \$1,000      ☐ \$1,001 - \$10,000  
☐ \$10,001 - \$100,000      ☐ OVER \$100,000  
  
☐ Guarantor, if applicable

NAME OF LENDER\*

ADDRESS \_\_\_\_\_

BUSINESS ACTIVITY OF LENDER \_\_\_\_\_

INTEREST RATE

\_\_\_\_\_%      ☐ None

TERM (Months/Years)

HIGHEST BALANCE DURING REPORTING PERIOD

- ☐ \$500 - \$1,000      ☐ \$1,001 - \$10,000  
☐ \$10,001 - \$100,000      ☐ OVER \$100,000  
  
☐ Guarantor, if applicable

Comments: \_\_\_\_\_

**INSTRUCTIONS – SCHEDULE C**  
**INCOME, LOANS, & BUSINESS POSITIONS**  
**(Income Other Than Gifts and Travel Payments)**

---

Report the source and amount of gross income of \$500 or more you received during the reporting period. Gross income is the total amount of income before deducting expenses, losses, or taxes and includes loans other than loans from a commercial lending institution. (See Ref. Pamphlet, page 10.) Also report your job title with each reportable business entity, even if you received no income during the reporting period. You must also report the source of income to your spouse or registered domestic partner if your community property share is \$500 or more during the reporting period.

A source of income must be reported only if the source is located in, doing business in, planning to do business in, or has done business during the previous two years in your agency's jurisdiction. (See Ref. Pamphlet, page 12, for more information about doing business in the jurisdiction.) Reportable sources of income may be further limited by your agency's conflict-of-interest code.

**Commonly reportable income and loans include:**

- Salary/wages, per diem, reimbursement for expenses including travel payments provided by your employer
- Community property interest (50%) in your spouse's or registered domestic partner's income - **report the employer's name and all other required information**
- Income from investment interests, such as partnerships, reported on Schedule A-1
- Commission income not required to be reported on Schedule A-2 (See Ref. Pamphlet, page 7.)
- Gross income from any sale, including the sale of a house or car (report your pro rata share of the total sale price)
- Rental income not required to be reported on Schedule B
- Prizes or awards not disclosed as gifts
- Payments received on loans you made to others, including loan repayments from a campaign committee
- An honorarium received prior to becoming a public official (See Ref. Pamphlet, page 9, concerning your ability to receive future honoraria.)
- Incentive compensation (See Ref. Pamphlet, page 11.)

**REMINDERS**

- Code filers – Your disclosure categories may not require disclosure of all sources of income.
- If you or your spouse or registered domestic partner are self-employed, report the business entity on Schedule A-2.
- Do not disclose on Schedule C income, loans, or business positions already reported on Schedules A-2 or B.

**You are not required to report:**

- Salary, reimbursement for expenses or per diem, social security, disability, or other similar benefit payments received by you or your spouse or registered domestic partner from a federal, state, or local government agency

***See Ref. Pamphlet, page 11, for more exceptions to income reporting.***

**TO COMPLETE SCHEDULE C:**

**1. Income Received/Business Position Disclosure**

- Disclose the name and address of each source of income or each business entity with which you held a business position.
- Provide a general description of the business activity if the source is a business entity.
- Disclose the job title or business position, if any, that you held with the business entity, even if you did not receive income during the reporting period.
- Check the box indicating the amount of gross income received.
- Identify the consideration for which the income was received.
- For income from commission sales, check the box indicating the gross income received and list the name of each source of commission income of \$10,000 or more. (See Ref. Pamphlet, page 7.)
- For income from rental property that is not required to be listed on Schedule B, enter "Rental Income" under "Name of Source," check the box indicating the gross income received, and, if you had a 10% or greater interest in the rental property, list the name of each tenant if your pro rata share of the gross income from that tenant was \$10,000 or more during the reporting period.

**2. Loans Received or Outstanding During Reporting Period**

- Disclose the name and address of each lender.
- Provide a general description of the business activity if the lender is a business entity.
- Check the box indicating the highest balance of the loan during the reporting period.
- Disclose the interest rate and the term of the loan.
  - The term of the loan is the total number of months or years given for repayment of the loan at the time the loan was entered into.
  - For variable interest rate loans, disclose the conditions of the loan (for example, Prime + 2) or the average interest rate paid during the reporting period.
- Identify the security, if any, for the loan.



**SCHEDULE C**  
**Income, Loans, & Business**  
**Positions**  
(Other than Gifts and Travel Payments)

**CALIFORNIA FORM 700**  
FAIR POLITICAL PRACTICES COMMISSION

Name \_\_\_\_\_

► **1. INCOME RECEIVED**

NAME OF SOURCE OF INCOME \_\_\_\_\_

ADDRESS \_\_\_\_\_

BUSINESS ACTIVITY, IF ANY, OF SOURCE \_\_\_\_\_

YOUR BUSINESS POSITION \_\_\_\_\_

GROSS INCOME RECEIVED

☐ \$500 - \$1,000      ☐ \$1,001 - \$10,000  
☐ \$10,001 - \$100,000      ☐ OVER \$100,000

CONSIDERATION FOR WHICH INCOME WAS RECEIVED

☐ Salary      ☐ Spouse's or registered domestic partner's income

☐ Loan repayment

☐ Sale of \_\_\_\_\_  
(Property, car, boat, etc.)

☐ Commission or      ☐ Rental Income, list each source of \$10,000 or more

☐ Other \_\_\_\_\_  
(Describe)

► **1. INCOME RECEIVED**

NAME OF SOURCE OF INCOME \_\_\_\_\_

ADDRESS \_\_\_\_\_

BUSINESS ACTIVITY, IF ANY, OF SOURCE \_\_\_\_\_

YOUR BUSINESS POSITION \_\_\_\_\_

GROSS INCOME RECEIVED

☐ \$500 - \$1,000      ☐ \$1,001 - \$10,000  
☐ \$10,001 - \$100,000      ☐ OVER \$100,000

CONSIDERATION FOR WHICH INCOME WAS RECEIVED

☐ Salary      ☐ Spouse's or registered domestic partner's income

☐ Loan repayment

☐ Sale of \_\_\_\_\_  
(Property, car, boat, etc.)

☐ Commission or      ☐ Rental Income, list each source of \$10,000 or more

☐ Other \_\_\_\_\_  
(Describe)

► **2. LOANS RECEIVED OR OUTSTANDING DURING THE REPORTING PERIOD**

\* You are not required to report loans from commercial lending institutions, or any indebtedness created as part of a retail installment or credit card transaction, made in the lender's regular course of business on terms available to members of the public without regard to your official status. Personal loans and loans received not in a lender's regular course of business must be disclosed as follows:

NAME OF LENDER\* \_\_\_\_\_

ADDRESS \_\_\_\_\_

BUSINESS ACTIVITY, IF ANY, OF LENDER \_\_\_\_\_

HIGHEST BALANCE DURING REPORTING PERIOD

☐ \$500 - \$1,000  
☐ \$1,001 - \$10,000  
☐ \$10,001 - \$100,000  
☐ OVER \$100,000

INTEREST RATE

\_\_\_\_\_ %      ☐ None

TERM (Months/Years)

\_\_\_\_\_

SECURITY FOR LOAN

☐ None      ☐ Personal residence

☐ Real Property \_\_\_\_\_  
Street address

\_\_\_\_\_ City

☐ Guarantor \_\_\_\_\_

☐ Other \_\_\_\_\_  
(Describe)

Comments: \_\_\_\_\_

## INSTRUCTIONS — SCHEDULE D

### INCOME — GIFTS

A gift is anything of value for which you have not provided equal or greater consideration to the donor. A gift is reportable if its fair market value is \$50 or more. In addition, multiple gifts totaling \$50 or more received during the reporting period from a single source must be reported.

**Gifts are reportable regardless of where the donor is located.**

It is the acceptance of a gift, not the ultimate use to which it is put, that imposes your reporting obligation. Except as noted below, you must report a gift even if you never used it or if you gave it away to another person.

If the exact amount of a gift is unknown, you must make a good faith estimate of the item's fair market value. Listing the value of a gift as "over \$50" or "value unknown" is not adequate disclosure. In addition, if you received a gift through an intermediary, you must disclose the name, address, and business activity of both the donor and the intermediary.

#### Commonly reportable gifts include:

- Tickets/passes to sporting or entertainment events
- Tickets/passes to amusement parks
- Parking passes
- Food, beverages, and accommodations, including those provided in direct connection with your attendance at a convention, conference, meeting, social event, meal, or like gathering, where you did not give a speech, participate in a panel or seminar, or provide a similar service
- Rebates/discounts not made in the regular course of business to members of the public without regard to official status
- Wedding gifts (See Ref. Pamphlet, page 15, to determine value.)
- An honorarium (You may report an honorarium as income on Schedule C, rather than as a gift on Schedule D, if you provided services of equal or greater value than the payment received. See Ref. Pamphlet, page 9, regarding your ability to receive future honoraria.)
- Transportation and lodging (see Schedule E)
- Forgiveness of a loan received by you

#### You are not required to disclose:

- Gifts that were not used and which, within 30 days after receipt, were returned to the donor or delivered to a charitable organization without being claimed by you as a charitable contribution for tax purposes

#### REMINDERS

- Gifts from a single source are subject to limit. See Ref. Pamphlet, page 9.
- See Ref. Pamphlet, page 1, for new rules on tickets.
- Code filers – You only need to report gifts from reportable sources.

- Gifts from your spouse or registered domestic partner, child, parent, grandparent, grandchild, brother, sister, aunt, uncle, niece, nephew, or first cousin (Included in this exception are gifts from your spouse or domestic partner's children, parents, brothers, sisters, and the spouse or registered domestic partner of the individuals listed above. The exception does not apply if the donor was acting as an agent or intermediary for a reportable source who was the true donor.)
- Gifts of hospitality involving food, drink, or occasional lodging provided in an individual's home when the individual or a member of the individual's family was present
- Gifts of similar value exchanged between you and an individual, other than a lobbyist, on holidays, birthdays, or similar occasions
- Gifts of informational material provided to assist you in the performance of your official duties (for example, books, pamphlets, reports, calendars, periodicals, or educational seminars)
- A bequest or inheritance (However, inherited investments or real property may be reportable on other schedules.)
- Personalized plaques and trophies with an individual value of less than \$250
- Campaign contributions
- A single ticket to a 501(c)(3) or political fundraising event received for your own use from the organization or the committee holding the fundraiser (the gift limit applies to nonprofit tickets)
- Gifts given to members of your immediate family unless you enjoy direct benefit of the gift, use the gift, or exercise discretion or control over the use or disposition of the gift (See Commission Regulation 18944.)
- A pass or ticket that provided a one-time admission to an event (theater performance, sporting event) that was not used and was not transferred to another person (Commission Regulation 18946.1 provides a method for determining the value of a ticket or pass that was used or transferred to another person and for determining the value of passes or tickets which provide repeated admission to facilities or services.)
- Food, beverages, and necessary accommodations provided directly in connection with an event at which you gave a speech, participated in a panel or seminar, or provided a similar service

#### TO COMPLETE SCHEDULE D:

- Disclose the full name (not an acronym), address, and, if a business entity, the business activity of the source.
- Provide the date (month, day, and year) of receipt, and disclose the fair market value and description of the gift.

SCHEDULE D

Income – Gifts

<div> <div>▶ NAME OF SOURCE</div> <div></div> <div>ADDRESS</div> <div></div> <div>BUSINESS ACTIVITY, IF ANY, OF SOURCE</div> <div></div> <table> <tr> <th>DATE (mm/dd/yy)</th> <th>VALUE</th> <th>DESCRIPTION OF GIFT(S)</th> </tr> <tr> <td>____/____/____</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td>____/____/____</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td>____/____/____</td> <td>\$ _____</td> <td>_____</td> </tr> </table> </div>	DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)	____/____/____	\$ _____	_____	____/____/____	\$ _____	_____	____/____/____	\$ _____	_____	<div> <div>▶ NAME OF SOURCE</div> <div></div> <div>ADDRESS</div> <div></div> <div>BUSINESS ACTIVITY, IF ANY, OF SOURCE</div> <div></div> <table> <tr> <th>DATE (mm/dd/yy)</th> <th>VALUE</th> <th>DESCRIPTION OF GIFT(S)</th> </tr> <tr> <td>____/____/____</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td>____/____/____</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td>____/____/____</td> <td>\$ _____</td> <td>_____</td> </tr> </table> </div>	DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)	____/____/____	\$ _____	_____	____/____/____	\$ _____	_____	____/____/____	\$ _____	_____
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Comments:

## INSTRUCTIONS – SCHEDULE E TRAVEL PAYMENTS, ADVANCES, AND REIMBURSEMENTS

Travel payments reportable on Schedule E include advances and reimbursements for travel and related expenses, including lodging and meals.

Gifts of travel may be subject to the gift limit. In addition, certain travel payments are reportable gifts, but are not subject to the gift limit. To avoid possible misinterpretation or the perception that you may have received a gift in excess of the gift limit, you may wish to provide a specific description of the purpose of your travel. See the FPPC fact sheet entitled "Limitations and Restrictions on Gifts, Honoraria, Travel, and Loans," which can be obtained from your filing officer or the FPPC website at [www.fppc.ca.gov](http://www.fppc.ca.gov). Effective August 15, 2008, Regulation 18946.6 provides new valuation methods for gifts of air transportation.

### You are not required to disclose:

- Travel payments received from any state, local, or federal government agency for which you provided services equal or greater in value than the payments received
- Travel payments received from your employer in the normal course of your employment that are included in the income reported on Schedule C
- Payments or reimbursements for transportation within California in connection with an event at which you gave a speech, participated in a panel or seminar, or performed a similar service
- Food, beverages, and necessary accommodations received directly in connection with an event held inside or outside California at which you gave a speech, participated in a panel, or provided a similar service (Note that payments for transportation outside of California are reportable.)
- A travel payment that was received from a non-profit entity exempt from taxation under Internal Revenue Code Section 501(c)(3) for which you provided equal or greater consideration

### TO COMPLETE SCHEDULE E:

- Disclose the full name (not an acronym) and address of the source of the travel payment.
- Identify the business activity, if any, of the source.
- Check the box to identify the payment as a gift or income, report the amount, and disclose the date(s) if applicable.

- Travel payments are gifts if you did not provide services that were equal to or greater in value than the payments received. You must disclose gifts totaling \$50 or more from a single source during the period covered by the statement. Gifts of travel are reportable without regard to where the donor is located.

When reporting travel payments that are gifts, you must provide a description of the gift and the date(s) received.

- Travel payments are income if you provided services that were equal to or greater in value than the payments received. You must disclose income totaling \$500 or more from a single source during the period covered by the statement. You have the burden of proving the payments are income rather than gifts.

When reporting travel payments as income, you must describe the services you provided in exchange for the payment. You are not required to disclose the date(s) for travel payments that are income.

### Example:

City council member Rick Chandler is a board member of the League of California Cities. The League reimburses its board members for travel and lodging, as well as meals and other expenses associated with board meetings.

If Rick provides equal or greater consideration for the travel and lodging when he participates in the meeting, the reimbursements are reported as income. Note that the burden is on the official to determine whether he or she has provided equal or greater value for the payment.

NAME OF SOURCE	
League of California Cities	
ADDRESS	
1400 K Street, Suite 400	
CITY AND STATE	
Sacramento, CA	
BUSINESS ACTIVITY, IF ANY, OF SOURCE	
Association of city officials	
DATE(S): 9 / 16 / 08 - 9 / 17 / 08	AMT: \$ 588.00
(if applicable)	
TYPE OF PAYMENT: (must check one) <input type="checkbox"/> Gift <input checked="" type="checkbox"/> Income	
DESCRIPTION: Travel reimbursement for board meeting	

**SCHEDULE E**  
**Income – Gifts**  
**Travel Payments, Advances,**  
**and Reimbursements**

**CALIFORNIA FORM 700**

FAIR POLITICAL PRACTICES COMMISSION

Name \_\_\_\_\_

- **Reminder – you must mark the gift or income box.**
- **You are not required to report “income” from government agencies.**

► NAME OF SOURCE

ADDRESS

CITY AND STATE

BUSINESS ACTIVITY, IF ANY, OF SOURCE

DATE(S): \_\_\_\_/\_\_\_\_/\_\_\_\_ - \_\_\_\_/\_\_\_\_/\_\_\_\_ AMT: \$\_\_\_\_\_  
(If applicable)

TYPE OF PAYMENT: (must check one) ☐ Gift ☐ Income

DESCRIPTION: \_\_\_\_\_

► NAME OF SOURCE

ADDRESS

CITY AND STATE

BUSINESS ACTIVITY, IF ANY, OF SOURCE

DATE(S): \_\_\_\_/\_\_\_\_/\_\_\_\_ - \_\_\_\_/\_\_\_\_/\_\_\_\_ AMT: \$\_\_\_\_\_  
(If applicable)

TYPE OF PAYMENT: (must check one) ☐ Gift ☐ Income

DESCRIPTION: \_\_\_\_\_

► NAME OF SOURCE

ADDRESS

CITY AND STATE

BUSINESS ACTIVITY, IF ANY, OF SOURCE

DATE(S): \_\_\_\_/\_\_\_\_/\_\_\_\_ - \_\_\_\_/\_\_\_\_/\_\_\_\_ AMT: \$\_\_\_\_\_  
(If applicable)

TYPE OF PAYMENT: (must check one) ☐ Gift ☐ Income

DESCRIPTION: \_\_\_\_\_

► NAME OF SOURCE

ADDRESS

CITY AND STATE

BUSINESS ACTIVITY, IF ANY, OF SOURCE

DATE(S): \_\_\_\_/\_\_\_\_/\_\_\_\_ - \_\_\_\_/\_\_\_\_/\_\_\_\_ AMT: \$\_\_\_\_\_  
(If applicable)

TYPE OF PAYMENT: (must check one) ☐ Gift ☐ Income

DESCRIPTION: \_\_\_\_\_

Comments: \_\_\_\_\_